

jc595 U.S. PTO  
05/28/99

**STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.**

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jc511 U.S. PTO  
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May 28, 1999

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**BOX: PATENT APPLICATION**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Re: U.S. Non-Provisional Utility Patent Application under 37 C.F.R. § 1.53(b)  
(Divisional of Appl. No. 08/659,192; Filed: June 6, 1996)  
Appl. No. *To be assigned*; Filed: Herewith  
For: **Neuroactive Steroids of the Androstane and Pregnane Series**  
Inventors: Upasani *et al.*  
Our Ref: 1483.0130002/RWE/JMC

Sir:

The following documents are forwarded herewith for appropriate action by the U.S.  
Patent and Trademark Office:

1. PTO Utility Patent Application Transmittal Form (PTO/SB/05) (*in duplicate*);
2. U.S. Utility Patent Application entitled:

**NEUROACTIVE STEROIDS OF THE ANDROSTANE AND  
PREGNANE SERIES**

and naming as inventors:

Ravindra B. UPASANI  
David B. FICK  
Derk J. HOGENKAMP  
Nancy C. LAN

the application consisting of:

Assistant Commissioner for Patents

May 28, 1999

Page 2

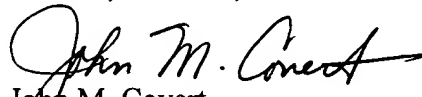
- a. A specification containing:
  - (i) 78 pages of description prior to the claims;
  - (ii) 15 pages of claims (45 claims);
  - (iii) 1 page of abstract;
- b. 1 sheet of drawings: (Figure 1);
3. A copy of the executed Declaration, as filed in U.S. Appl. No. 08/659,192;
4. PTO Fee Transmittal Form PTO/SB/17 (*in duplicate*);
5. Preliminary Amendment;
6. Authorization to Treat a Reply As Incorporating An Extension of Time Under 37 C.F.R. § 1.136(a)(3) (*in duplicate*);
7. SKG&F Check No. 24515 for \$904.00 to cover \$760.00 for filing fee for patent application and \$144.00 for claims in excess of twenty; and
8. Two (2) return postcards.

It is respectfully requested that, of the two attached postcards, one be stamped with the filing date of these documents and returned to our courier, and the other, prepaid postcard, be stamped with the filing date and unofficial application number and returned as soon as possible.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036. A duplicate copy of this letter is enclosed.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



John M. Covert  
Attorney for Applicants  
Registration No. 38,759

JMC/ybh

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Please type a sign(+) inside this box



PTO/SB/05 (2/98)

Approved for use through 09/30/2000. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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<b>UTILITY PATENT APPLICATION TRANSMITTAL</b> (Only for new nonprovisional applications under 37 CFR § 1.53(b))		<b>Attorney Docket No.</b> 1483.0130002/RWE/JMC	
		<b>First Inventor or Application Identifier</b> UPASANI et al.	
		<b>Title</b> NEUROACTIVE STEROIDS OF THE ANDROSTANE AND PREGNANE SERIES	
		<b>Express Mail Label No.</b>	
<b>APPLICATION ELEMENTS</b> See MPEP chapter 600 concerning utility patent application contents.		<b>ADDRESS TO:</b> Assistant Commissioner for Patents Box Patent Application Washington, DC 20231	
<p>1. <input checked="" type="checkbox"/> * Fee Transmittal Form (e.g., PTO/SB/17) (Submit an original, and a duplicate for fee processing)</p> <p>2. <input checked="" type="checkbox"/> Specification [Total Pages 94] (preferred arrangement set forth below) - Descriptive title of the Invention - Cross References to Related Applications - Statement Regarding Fed sponsored R &amp; D - Reference to Microfiche Appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings (if filed) - Detailed Description - Claim(s) - Abstract of the Disclosure</p> <p>3. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets 1]</p> <p>4. <input checked="" type="checkbox"/> Oath or Declaration [Total Pages 3] a. <input type="checkbox"/> Newly executed (original or copy) b. <input checked="" type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional with Box 17 completed) [Note Box 5 below] 1. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b> Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR §§ 1.63(d)(2) and 1.33(b).</p> <p>5. <input checked="" type="checkbox"/> Incorporation By Reference (useable if Box 4b is checked) The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.</p>		<p>6. <input type="checkbox"/> Microfiche Computer Program (Appendix)</p> <p>7. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) a. <input type="checkbox"/> Computer Readable Copy b. <input type="checkbox"/> Paper Copy (identical to computer copy) c. <input type="checkbox"/> Statement verifying identity of above copies</p>	
		<b>ACCOMPANYING APPLICATION PARTS</b>	
		<p>8. <input type="checkbox"/> Assignment Papers (cover sheet &amp; document(s))</p> <p>9. <input type="checkbox"/> 37 CFR 3.73(b) Statement (when there is an assignee) <input type="checkbox"/> Power of Attorney</p> <p>10. <input type="checkbox"/> English Translation Document (if applicable)</p> <p>11. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations</p> <p>12. <input checked="" type="checkbox"/> Preliminary Amendment</p> <p>13. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized)</p> <p>14. <input type="checkbox"/> *Small Entity Statement(s) (PTO/SB/09-12) <input type="checkbox"/> Statement filed in prior application, Status still proper and desired</p> <p>15. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed)</p> <p>16. <input checked="" type="checkbox"/> Other: 37 C.F.R. § 1.136(a)(3) Authorization <input type="checkbox"/> Other:</p> <p><small>*NOTE FOR ITEMS 1 &amp; 14: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).</small></p>	
<p>17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:</p> <p><input type="checkbox"/> Continuation <input checked="" type="checkbox"/> Divisional <input type="checkbox"/> Continuation-in-Part (CIP) of prior application No. 08/659,192</p> <p>Prior application information: Examiner <u>Badio, B</u> Group/Art Unit: <u>1616</u></p>			
<b>18. CORRESPONDENCE ADDRESS</b>			
<p><input type="checkbox"/> Customer Number or Bar Code Label <input type="checkbox"/> Correspondence address below</p> <p>(Insert Customer No. or Attach bar code label here)</p>			
<b>NAME</b>		STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.	
		Attorneys at Law	
<b>ADDRESS</b>		Suite 600, 1100 New York Avenue, N.W.	
<b>CITY</b>	Washington	<b>STATE</b>	DC
<b>ZIP CODE</b>	20005-3934	<b>FAX</b>	(202) 371-2540
<b>COUNTRY</b>	USA	<b>TELEPHONE</b>	(202) 371-2600

<b>NAME (Print/Type)</b>	John M. Covert	<b>Registration No. (Attorney/Agent)</b>	38,759
<b>SIGNATURE</b>		<b>Date</b>	May 28, 1999

Burden Hour Statement: this form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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**FEE TRANSMITTAL**

Patent fees are subject to annual revision on October 1.

These are the fees effective October 1, 1997.

Small Entity payments must be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12.

See 37 C.F.R. §§ 1.27 and 1.28.

**Complete if Known**

Application Number	To be assigned
Filing Date	Herewith
First Named Inventor	UPASANI et al.
Examiner Name	To be assigned
Group / Art Unit	To be assigned
Attorney Docket Number	1483.0130002/RWE/JMC

TOTAL AMOUNT OF PAYMENT (\$904.00)

**METHOD OF PAYMENT (check one)**

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to:

Deposit Account Number: 19-0036  
 Deposit Account Name: Sterne, Kessler, Goldstein & Fox P.L.L.C.

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17  
☐ Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance

- 2.
- ☒
- Payment Enclosed:
- ☒
- Check No. 24575

☐ Money Order ☒ Other\*

\*Charge any deficiencies or credit any overpayments in the fees or fee calculations of Parts 1, 2 and 3 below to Deposit Account No. 19-0036.

**FEE CALCULATION****1. BASIC FILING FEE**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	760	201	380	Utility filing fee	\$760.00
106	310	206	155	Design filing fee	
107	480	207	240	Plant filing fee	
108	760	208	380	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1) (\$) 760.00

**2. EXTRA CLAIM FEES**

	Extra	Fee from below	Fee Paid
Total Claims 28 - 20** = 8	X 18		= \$144.00
Indep. Claims 3 - 3** = 0	X 39		= 0
Multiple Dependent Claims			= 0

\*\* or number previously paid, if greater; For Reissues, see below

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	78	202	39	Independent claims in excess of 3
104	260	204	130	Multiple dependant claim
108	78	209	39	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 144.00

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	380	216	190	Extension for reply within second month	
117	870	217	435	Extension for reply within third month	
118	1,360	218	680	Extension for reply within fourth month	
128	1,850	228	925	Extension for reply within fifth month	
119	300	219	150	Notice of Appeal	
120	300	220	150	Filing a brief in support of an appeal	
121	260	221	130	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,210	241	605	Petition to revive - unintentional	
142	1,210	242	605	Utility issue fee (or reissue)	
143	430	243	215	Design issue fee	
144	580	244	290	Plant issue fee	

122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	760	246	380	Filing a submission after final rejection (37 CFR 1.129(a))	
149	760	249	380	For each additional invention to be examined (37 CFR 1.129(b))	

Other fee (specify):

Other fee (specify):

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

**SUBMITTED BY****Complete (if applicable)**

Typed or Printed Name	John M. Covert	Reg. Number	38,759
Signature	<i>John M. Covert</i>	Date	May 28, 1999
		Deposit Acct. User ID	

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